

ADVANCED ENERGY INDUSTRIES INC
 Form 4
 January 16, 2014

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
 Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
 Expires: January 31, 2015
 Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
 Herron Danny C

2. Issuer Name and Ticker or Trading Symbol
 ADVANCED ENERGY INDUSTRIES INC [AEIS]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
 01/15/2014

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
 Executive VP & CFO

1625 SHARP POINT DRIVE

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

FORT COLLINS, CO 80525

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	01/15/2014		M		6,562 (1) A \$ 14.5	32,411 (2)	D
Common Stock	01/15/2014		M		13,124 (1) A \$ 14.52	45,535 (2)	D
Common Stock	01/15/2014		S		19,686 (1) D \$ 26.1666 (3)	25,849 (2)	D
Common Stock	01/16/2014		M		3,000 (1) A \$ 12.44	28,849 (2)	D
Common Stock	01/16/2014		M		13,124 (1) A \$ 14.21	41,973 (2)	D

Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

Common Stock 01/16/2014 S 16,124₍₁₎ D \$ 27 25,849 (2) D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Options (right to buy)	\$ 14.5	01/15/2014		M	<u>6,562</u> ₍₁₎	10/26/2011 10/26/2020	Common Stock 6,562
Stock Options (right to buy)	\$ 14.52	01/15/2014		M	<u>7,220</u> ₍₁₎	02/15/2012 02/15/2021	Common Stock 7,220
Stock Options (right to buy)	\$ 14.52	01/15/2014		M	<u>5,904</u> ₍₁₎	02/15/2012 02/15/2021	Common Stock 5,904
Stock Options (right to buy)	\$ 12.44	01/16/2014		M	<u>3,000</u> ₍₁₎	07/22/2012 07/22/2022	Common Stock 3,000
Stock Options (right to buy)	\$ 14.21	01/16/2014		M	<u>13,124</u> ₍₁₎	07/25/2012 07/25/2022	Common Stock 13,124

Reporting Owners

Reporting Owner Name / Address Relationships

Reporting Owners

Director 10% Owner Officer Other

Herron Danny C
1625 SHARP POINT DRIVE
FORT COLLINS, CO 80525

Executive VP & CFO

Signatures

/s/ Thomas O. McGimpsey -
Attorney-in-Fact

01/16/2014

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Sales reported in this Form 4 were effective pursuant to a Rule 10b5-1 plan.
- (2) Represents 25,404 shares granted as Restricted Stock units (RSUs) and 445 shares of Employee Stock Purchase Plan shares.
The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$26.00 to \$26.50, inclusive. The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.
- (3)

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.